IV. APPLICATION REQUIREMENTS AND INSTRUCTIONS

A. **General Requirements**

1. **CAREFULLY READ ALL INSTRUCTIONS** in the subsequent pages of this RFA, in the OTIS User Guide, the OTIS Evaluation Guide, and CX in Tobacco Control, Module 4: Developing a Tobacco Control Intervention and Evaluation Plan. While these documents are not tailored for training and technical assistance applications, they provide basic and appropriate information relevant to all CDHS/TCS competitive grant applications.

2. **THIS IS A MULTI-STAGE APPLICATION PROCESS**. General instructions for Stages I through IV of this RFA are provided in this application, as well as specific instructions for Stages I and II. Specific instructions for Stages III and IV will be provided upon notification of successfully passing the previous stage.

   Please note: Stages I and II of this application will be submitted using the web-based database OTIS. It is the applicant's responsibility to enter the required information into the database, review it, and ensure that the information is complete, accurate, meets all requirements prior to electronic submission, and is submitted by the due date.

3. **DO NOT WORK AHEAD ON STAGES**. Applicants must pass Stage I of this application before advancing to Stage II. Applicants must pass Stage II to advance to Stage III. Applicants must pass Stage III to advance to Stage IV.

   Applicants must have an OTIS user identification (ID) and password to access the OTIS User Guide, and to create and submit the application for Stage I. A unique user ID and password will be issued to up to three users per applicant. ***Applicants may* obtain user accounts and access to OTIS *by sending* an e-mail request to tcsweb@dhs.ca.gov *beginning May 10*, 2007 *through June 16, 2007***. In the e-mail request include the following: a) agency name; b) user first name; c) user last name; d) user e-mail address; e) selected **username;** and, f) selected **password**. Username and password must contain between 5 and 29 characters.

   CDHS/TCS will process user account requests within two business days. *Beginning May 10, 2007, t*he OTIS application website *will be* available to applicants with usernames and passwords *to start entering in application data.* You will receive notification of your user account and further instructions via e-mail.

4. **FOR STAGES I AND II, DOWNLOAD AND PRINT A COMPLETED PRINT-OUT OF THE APPLICATION FOR YOUR FILES**. Click on the "Report" link in OTIS to

download and print copies of completed forms including Agency Contact Information, Applicant Capability, SOW, Narrative, and Budget Justification.

Please note: Some reports, such as the SOW and Budget Justification, should be printed in landscape orientation in order to capture the full content.

5. **DO NOT ASSUME** that the reviewers have any knowledge of your agency's prior history or previous tobacco control programs administered by your agency. It is the responsibility of the applicant to demonstrate an understanding of the services to be delivered under the intended grant, the capacity of the applicant agency and its primary subcontractors and/or consultants to carry out the services, and the ability to design and carry out efficient services that are reasonably budgeted.

B. Overview of RFA Stages

The application process will be conducted in four stages: 1) Applicant Capability; 2) SOW, Narrative Summary, and Budget Justification; 3) Oral Presentation; and, 4) Site Visit to the Applicant Agency. The RFA stages are described in greater detail below. The minimum requirements for each stage are discussed on subsequent pages. Each application will be reviewed and evaluated in relationship to meeting the minimum requirements. **Specific instructions related to data entry into OTIS for Stage I and II may be found in the OTIS User Guide available at http://www.tcsotis.org/index.cfm?fuseaction=help.documentsIndexmain#22**.

Please note: it is the applicant's responsibility to check for notices and addenda to this RFA at http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101 on a weekly basis throughout the application process.

Stage I – Agency Capability
Maximum Points: 50
Minimum Points to Advance to Stage II: 40
Purpose: Stage I will determine whether the applicant, its subcontractors and/or consultants meet the minimum agency capability requirements.
Submission: ***June 18*****, 2007, at 5 p.m. PT** via OTIS.

Stage II – SOW, Narrative Summary, and Budget Justification
Maximum Points: 80
Minimum Points to Advance to Stage III: 64
Purpose: Stage II will determine the extent to which a detailed and well-organized three-year SOW with corresponding budget is provided that adequately addresses the training and technical assistance needs of CDHS/TCS-funded agencies working with identified priority populations and the goals for the Capacity Building Center.
Submission: ***August 17*****, 2007, at 5 p.m. PT.**

Stage III – Oral Presentation at CDHS/TCS
Maximum Points: 80
Minimum Points to Advance to Stage IV: 64
Purpose: Agencies will make oral presentations to the review panel at the CDHS/TCS office in Sacramento, California related to two case study scenarios that will be provided by CDHS/TCS. Instructions and scenarios for Stage III will be provided to applicants who receive passing scores for both Stage I and Stage II. Applicants will be responsible for all travel costs associated with the oral presentation phase.
Submission: **To be scheduled between *October 10-11*, 2007.**

Stage IV – On-site Visit
Maximum Points: 40
Minimum Points to be considered for funding: 32
Purpose: A review panel will tour prospective agencies, meet and interview staff and subcontractors and/or consultants to ensure the applicant's capacity in terms of: physical space, equipment, expertise to address the goals of the Capacity Building Center, delivering training and technical assistance using diverse methods, and addressing diverse populations. Instructions for Stage IV will be provided to applicants who receive passing scores on Stages I – III.
Submission: **To be scheduled between *November 1-6*, 2007.**

C. **Proposal Submission and Instructions**

This section contains the basic instructions for Stages I-IV. All of the instructions should be reviewed thoroughly. At the completion of each stage, agencies will be notified of their results and their qualification to participate in subsequent application stages in writing, fax, or e-mail. Upon notification, advancing agencies will receive additional instructions regarding the application requirements on each subsequent stage.

Supplementary Documents

Appendices M-V, Needs Assessment Survey Results Summaries conducted by CDHS/TCS-funded projects

Appendix W, Statewide Training and Technical Assistance Projects of the California Tobacco Control Program

Appendix X, Sample Scope of Work and Evaluation Plan for the Capacity Building Center for Diverse Populations

OTIS User Guide, available at www.dhs.ca.gov/tobacco/html/otis.htm

OTIS Evaluation Guide, available at www.dhs.ca.gov/tobacco/documents/eval/OTISEvaluationGuide.pdf

Supplementary Documents, continued

CDHS/TCS Administrative and Policy Manual, available at
www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101

Tell Your Story: Guidelines for Preparing a Complete High Quality Evaluation Report, available at
www.dhs.ca.gov/tobacco/documents/eval/EvaluationReport.pdf

Communities of Excellence in Tobacco Control, Module 4, available at
www.dhs.ca.gov/tobacco/documents/pubs/CX2006-Module4.pdf

1. **Stage I: Agency Capability** ***50 Points Possible***

The minimum requirements for each component of this stage are stated on subsequent pages. The qualifications of each applicant will be evaluated in relationship to the extent to which the minimum requirements are met or exceeded. For Stage I: Agency Capability, the following forms must be completed and submitted **via OTIS at:** **www.dhs.ca.gov/tobacco/html/otis.htm** ***by June 18, 2007***. *Agencies receiving a total score of 40 or greater will advance to Stage II.*

- My Agency
- Contact Information
- Applicant Capability

a. **My Agency**

Component Description: The "My Agency" area of OTIS provides universal information about the applicant agency: the agency's name, contact information, federal identification number, and the health jurisdiction within which the agency is located. From "My Agency," you can also request additional OTIS user accounts.

Maximum Point Value: 0

Minimum Requirements: Completes agency name, agency short name, and federal identification number; identifies the health jurisdiction in which the agency is physically located; provides agency phone number, fax number, mailing address, and physical address.

Instructions: The "My Agency" area of OTIS is accessed by clicking on the "My Agency" link at the bottom of the OTIS screen. To get to the screen with the "My Agency" link, you first must click on procurement tools. See the OTIS

User Guide, Section B: Contact Information for data entry instructions. For out-of-state applicants, identify the health jurisdiction in which the California office for this project will be located.

b. **Contact Information**

<u>Component Description</u>: Provide general contact information for the project director, fiscal contact, and agency signatory.

<u>Maximum Point Value</u>: 0

<u>Minimum Requirements</u>: Contact information is complete and accurate.

<u>Instructions</u>: See OTIS User Guide, Section B: Contact Information for data entry instructions.

c. **Applicant Capability:**

Please note: the term Primary Applicant refers to the agency applying for this RFA. *See page 34.*

<u>Component Description</u>: This section describes the ability of the Primary Applicant to provide training and technical assistance services to CDHS/TCS-funded agencies related to the eight priority populations, which are identified in Section I, page 6. This includes experience, areas of programmatic expertise, administrative and fiscal experience and expertise, availability of equipment, start-up capability, and letters of reference. *Additionally, this section describes the capability of subcontractors and consultants if identified at the time of application or how the Primary Applicant will assemble an outstanding team of employees, subcontractors, and/or consultants for the project.*

Please note: The Primary Applicant is not required to utilize subcontractors and/or consultants if the Primary Applicant possesses the capability to accomplish the entire SOW in-house. See Budget Instructions, page 42 to provide adequate budget justification instructions if subcontractors and/or consultants will be included in the proposal.

<u>Maximum Point Value</u>: 50

<u>Minimum Requirements</u>: Primary Applicants must exhibit the following minimum qualifications:

1) The Primary Applicant demonstrates <u>at least five years</u> of experience providing cultural diversity training and technical assistance to

professionals which may include such activities as: conducting diversity audits[3], providing needs assessment training, working collaboratively with other agencies on diversity initiatives, developing coalitions, strategic planning within priority populations, developing training plans, and designing training programs that are directed toward long-term changes in organizational policies affecting diversity issues.

2) The Primary Applicant demonstrates at least two years of experience in employing or contracting with diversity training professionals who reflect diverse racial/ethnic and cultural backgrounds. *If possible, the Primary Applicant should name subcontractors and/or consultants that are being proposed, the expertise with the population training/technical assistance, and/or any information technology expertise that is required of this project. If not able to name specific subcontractors and/or consultants, the Primary Applicant should describe how the team members were identified, the criteria for selection, and how they will be recruited.*

3) The Primary Applicant demonstrates that the *Project M*anager for this project has at least three years of experience working on health disparities issues.

4) The Primary Applicant demonstrates an understanding of tobacco-related health disparities issues within California and how these issues apply to current California tobacco control efforts.

5) The Primary Applicant demonstrates extensive experience (five or more years each) providing professional training and technical assistance that includes in-person, peer-to-peer, long distance learning methodologies (e.g., teleconferences, fax, listservs, webinars, interactive web-based courses), and the development of training tools and guides for professional audiences.

6) The Primary Applicant demonstrates the ability to start up and begin implementation within six weeks of the *January 1, 2008*, grant execution date from a California-based location. The Primary Applicant demonstrates that its agency had an overall cumulative $1.8 million annual agency budget in FY 2005-06 and also in 2006-07.

7) The Primary Applicant demonstrates at least three years of satisfactory performance with the management of grant funds and activities including administrative, fiscal, program, and evaluation functions such as timely and accurate completion of deliverables, submission of fiscal, program, and evaluation documentation, subcontract monitoring, compliance with all government grant requirements, and no major audit findings within the past three years as a result of internal or external audits.

8) The Primary Applicant demonstrates that it has qualified staff to ensure that payroll, bookkeeping, invoicing, subcontractor and/or consultant monitoring and general tracking of administrative and fiscal controls is

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[3] Trained staff works on-site to assess current strengths and weaknesses of an agency through a combination of focus groups, online surveys, and a review of internal policies and procedures. The end result is a report of the agency's current overall "health" in relation to diversity.

consistent with the CDHS/TCS Administrative Expectations described in Section III of this RFA.

9) The Primary Applicant demonstrates the ability to partially equip the project with office furniture, computers, scanners, software, printers, copy machines, etc., to support all staff and program needs including use of OTIS which requires online submission of program and fiscal documents.

10) The Primary Applicant demonstrates that they possess the capability and/or the proper equipment and security measures necessary to conduct trainings in various formats such as face-to-face trainings, webinars, and web-based curricula (e.g., collect, maintain, and utilize electronic mailing lists or *Internet* forums, archive messages, search and index functionality, etc.).

11) Pursuant to H&S Code Section 104445, preference shall be given to current contractors that have demonstrated effectiveness and capacity in providing tobacco control services.

Instructions: See OTIS User Guide, Section C: Applicant Capability for *basic* data entry instructions. For the Applicant Capability, provide the following information:

a) Program Experience

(1) Describe the Primary Applicant's experience providing cultural diversity training and technical assistance to professionals that may include such activities as: conducting diversity audits, providing needs assessment training, working collaboratively with other agencies on diversity initiatives, developing coalitions, and strategic planning within priority populations identified in this RFA.

(2) Describe the Primary Applicant's experience developing training plans and designing training programs that are directed at implementing long-term changes in organizational policies affecting diversity issues.

(3) Describe the Primary Applicant's experience in employing or contracting with diversity training professionals who reflect diverse racial/ethnic and cultural backgrounds.

(4) Describe the experience and capabilities of the team of employees, subcontractors and/or consultants assembled for this project including the *Project Manager's* experience on working on health disparity issues *or how you will assemble the team. Describe how the team members were or will be identified, the criteria for selection, and how they will be recruited.*

(5) Describe the Primary Applicant's understanding of tobacco-related health disparities issues within California and how these issues apply to current California tobacco control efforts.

(6) Describe the experience of the Primary Applicants and subcontractors and/or consultants in providing professional training and technical assistance that includes a variety of in-person, peer-to-peer, long distance methodologies, and development and dissemination of training tools/guides.

b) Organizational Start-Up

(1) Describe Primary Applicant's capability and resources necessary to ensure timely start-up and implementation of the proposed project including the availability of a physical office in California at the time of application submission. If the Primary Applicant does not have a California office available at the time of *the* Stage I application *submission date*, please describe the timeline for setting up a physical office in California.

(2) Describe how the proposed project will be integrated into the existing Primary Applicant's organizational structure.

c) Administrative/Fiscal Experience

(1) Describe the Primary Applicant's performance with the management of grant funds and activities including administrative, fiscal, program, and evaluation functions such as: timely and accurate completion of deliverables, submission of fiscal, program, and evaluation documentation, subcontract monitoring, compliance with all government grant requirements, and no major audit exceptions within the past three years, as a result of internal or external audits.

(2) Describe the Primary Applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff; including a description of the staff's experience with monitoring government grant funds, including the oversight and management of subcontractors and/or consultants.

(3) Describe the Primary Applicant's history in the last three years managing government or foundation grant funds. Include in the description the funding agency, the amount received, and how the grants were managed (e.g., were the grant deliverables accomplished, were progress reports and invoices submitted in a timely manner, and were fiscal records in good standing?).

(4) Describe the Primary Applicant's internal audit history in the past three years including the frequency of audits, date of last audit, and a summary of the major findings from the last audit. If any of the agencies are currently being audited or has been audited by a State agency within the last three years provide the following information: 1) the name of the State agency; 2) State agency contact person and phone number; 3) the year the audit was conducted; and, 4) the audit outcome. CDHS/TCS reserves the right, at its sole discretion, to follow-up with references to confirm audit history.

d) Equipment

Describe the office, computer equipment, software, and other communication equipment that the Primary Applicant have available for use by the proposed project. Include in the description: 1) the number and type of equipment available (e.g., desks, chairs, facsimile machines, personal computers, printers, reproduction/duplication/copiers, scanners, etc.); 2) whether or not the computers have modems and communications, web-conferencing software, and listserv management capability; 3) the software packages Primary Applicant uses for websites, word processing, spreadsheets, databases, etc.; 4) approximately when the computer equipment was purchased; and, 5) its availability (e.g., 100 percent, 50 percent, 25 percent, etc.) for use by staff proposed for this project, if funded.

Please note: CDHS/TCS and most local health departments do not have Internet video streaming capabilities due to server bandwidth limitations; therefore, CDHS/TCS does not require the use of this technology by the applicant at this time. See Appendix K, the Computer Hardware/Software Minimum Specifications form for further information.

e) Letters of Reference

Solicit, scan, and upload three letters of reference into OTIS. Letters of reference must be written to the Primary Applicant within the last <u>two years</u>. No more than three letters will be accepted. If the Primary Applicant has in the past or is currently receiving funding from a local, state, or federal agency, other than CDHS/TCS, one of the references **must be** from one of these agencies.

The letters are to be on the reference agency's letterhead and must include:

- The address, telephone number, e-mail, name, and title of the letter's author
- A description of the capacity in which the reference provider worked with the Primary Applicant
- A description of the Primary Applicant's ability to provide technical assistance and training to agencies on a statewide basis
- The Primary Applicant's fiscal and administrative ability to manage government grant funds, including satisfactory performance with administering and managing government grant funds through timely and accurate submission of fiscal, program, and evaluation documents

Scoring of the Applicant Capability section will include the Letters of Reference. **CDHS/TCS reserves the right, at its sole discretion, to contact references for further information prior to the RFA review process**.

2. **Stage II: SOW, Narrative Summary, and Budget Justification** ***80 points possible***

Applicants advancing to Stage II will be required to submit a SOW, Narrative Summary, and Budget Justification. Each application will be reviewed and evaluated in relationship to the extent to which the minimum requirements are met or exceeded. Applications for Stage II must be completed and submitted via OTIS no later than ***August 17*, 2007, at 5 p.m. PT** at **http://www.tcsotis.org/index.cfm?fuseaction=help.documentsIndexmain#22**. Agencies receiving a total score of 64 or greater will advance to Stage III. The minimum requirements for each component in Stage II are listed on subsequent pages.

Additional information about completing the SOW and Evaluation is provided in the Communities of Excellence in Tobacco Control, Module 4. Data entry instructions for completing each component are provided in the OTIS User Guide at **http://www.tcsotis.org/index.cfm?fuseaction=help.documentsIndexmain#22**. An Avaya© teleconference will be conducted by CDHS/TCS staff *on July 20, 2007,* to assist agencies that pass to Stage II in completing the Stage II requirements using the OTIS system *(see page 17)*.

a. **SOW and Evaluation**

Component Description: The SOW provides a detailed "road map" that describes what is to be accomplished, how it will be accomplished, and how the intervention will be evaluated. It identifies the objectives, an Intervention Activity Plan for each objective, an Evaluation Design and Evaluation Plan for each objective, target audiences, timelines, responsible parties, products that are subject to copyright, a percent deliverable tied to tangible products or services to be produced or conducted, and tracking measures that will be used to verify completed activities. Refer to **Appendix X** for a sample SOW and Evaluation Plan for the Capacity Building Center for Diverse Populations.

The SOW will contain all program activities to be performed by the applicant and its budgeted (e.g., staff, subcontractors and/or consultants) and non-budgeted partners (e.g., board of trustees or advisory committee members) that will lead to the accomplishment of measurable objectives, and all evaluation activities that assess the extent to which the objective was achieved. Administrative activities, such as preparing progress reports/invoices, and hiring and supervising staff are important tasks; however, these are not included in the SOW.

Maximum Point Value: 40

SOW Minimum Requirements:

1) The SOW *includes a minimum of two objectives that address assets listed in* Section I, pages 9-10, of this RFA*; funding preference will be given to applicants that address all four of the highly relevant assets*.

2) The services encompassed by the SOW must at a minimum:

   a) Provide a comprehensive array of training and technical assistance services that vary in their intensity, but overall are designed to enhance and improve the capacity and skill of CDHS/TCS contractors, subcontractors and/or consultants to address the tobacco-related health disparities among the priority populations identified in this RFA in a culturally appropriate and competent manner*, and will likely lead to accomplishment of objectives. Activities are to be detailed and quantified, including a description of the what, how much, how often, and why.*
   b) Incorporate varied training and technical assistance modalities such as face-to-face, peer-to-peer, long distance (e.g., topic specific network teleconferences, fax, webinars, listservs, and interactive web-based trainings), cultural competency tools, how-to materials and tip sheets, etc.
   c) Proactively translate and disseminate research findings related to tobacco-related health disparities to CDHS/TCS-funded agencies.
   d) Provide evidence of collaboration and coordination with CDHS/TCS, other CDHS/TCS-funded statewide training and technical assistance providers *(e.g., the Helpline, TECC, the Center, TALC, CCAP, CYAN, the Evaluation Center, etc.)*, and state and national organizations that specialize in health disparities in order to maximize resources and avoid duplication.

e) Reflect a proactive service delivery model that incorporates input from those to be served through such methods as conducting a needs assessment, key informant interviews, consulting an advisory committee, etc., and that provides services in a manner recognizing that the need to provide services to address some populations is greater than the need to provide services to others, (e.g., a larger number of CDHS/TCS-funded projects may be addressing H/L and Low SES populations than are addressing Blue and Pink Collar Workers).

f) Include *objectives that are meaningful in terms of their scope and impact, and written to address* the following four W's:
   - Who or what is expected to change?
   - What and how much will change? (Be specific, do not use ranges in the objective. For example, you would state that you will achieve a compliance rate of a minimum of 90 percent versus stating 80-90 percent).
   - Where will the change occur?
   - When will the change occur?

3) A comprehensive, integrated program approach must be used to achieve each objective. This approach should incorporate several of the major intervention categories identified below. Please note that it is not required that every one of these categories be used in each objective:

a) Coordination/Collaboration Activities
b) Community Education Activities
c) Education Materials Development: Cultural Competency Training Tools Development
d) Incentive Items **(keep separate from Promotional Items)**
e) Media Activities
f) Policy Activities
g) Promotional Items **(keep separate from Incentive Items)**
h) School-based Education
i) Sponsorship Activities
j) Training/Technical Assistance Activities

4) Each intervention activity is to describe start and end dates, which should coincide with pre-defined six-month progress report periods (e.g., *January 2008* through *June 2008*). The start date indicates when the activity will begin. The end date indicates when the activity will be 100 percent complete. Start and end dates should reflect the concept that activities occur in an organized, logical fashion that build upon one another.

5) Identify tracking measures that verify completion of activities and indicate whether they will be maintained on file or submitted with progress reports. It is recommended that you provide no more than two tracking measures for each activity.

6) Quantify all activities in the SOW (you may use ranges) and assign a percent of effort to the deliverable. Do not assign deliverables to activities which help lead to achievement of major program outcomes, but of themselves are not a product or services, such as planning meetings, attending coalition meetings, participating in CDHS/TCS trainings, and distributing, ordering, purchasing, providing, or disseminating incentives/promotional items.

A percent of effort for each major deliverable must be assigned to each tangible deliverable. The total percent should equal 100 percent and no deliverable should be less than 0.5 percent; additionally, all deliverables should be in increments of one half of one percent. A program deliverable is a tangible product or service developed or conducted as part of the SOW. A program deliverable percentage is assigned to activities regardless of whether they are in the Intervention Activity Plan, the Evaluation Activity Plan, or the Final Evaluation Report. A deliverable is inclusive of all the coordination, planning, and collaboration activities that lead to accomplishment of a tangible product or service. Deliverables may include activities and materials, such as presentations, trainings, developed incentive items, promotional items, educational materials, surveys and focus groups conducted, paid radio or TV ads, etc. At the end of the grant term, the program deliverable percentage is used to help ascertain the maximum amount of funding the Grantee will receive. If any program deliverable is not completed or not completed in its entirety, the program deliverable percentage will be used to calculate a payment reduction to the Grantee.

7) Assign appropriate copyright and percent deliverable pursuant to instructions provided in CX in Tobacco Control: Module 4. The SOW designates copyrighted products, such as substantive, original materials, works for hire, databases, survey instruments, etc.

8) Identify the appropriate (e.g., in terms of skill/training level for the activity) party responsible for completing each activity (e.g., a budgeted or non-budgeted position, a collaborative partner). Non-budgeted parties should be individuals or groups that operate under the influence of the applicant agency. Non-budgeted partners may receive a nominal stipend or incentive.

<u>Instructions</u>: Refer to Communities of Excellence in Tobacco Control, Module 4*; OTIS User Guide, Section V, Application, E. Scope of Work, Narrative Summary, which provides specific instructions for completing the*

Narrative Summary, and Section V, Application, F. Budget Information for completing the Budget Justification and OTIS Evaluation Guide.

<u>Evaluation Minimum Requirements</u>

The OTIS Evaluation Guide includes suggested objectives, evaluation activity plans, evaluation designs, and data collection procedures for CX indicators that address new and innovative areas (e.g., multi-unit housing). **Please note: This guide is tailored to local tobacco control intervention projects rather than statewide training and technical assistance applications. However, the basic information is relevant and applicable to this RFA. Applicants are expected to be able to tailor the basic instructions in the OTIS Evaluation Guide to this RFA. Refer to Appendix X for a sample SOW and Evaluation Plan for the Capacity Building Center for Diverse Populations.**

1) The SOW must include an in-depth evaluation plan for at least one objective that is designated as a "Primary Objective." A Primary Objective is a high priority objective that will receive an in-depth evaluation and will be the subject of a high quality final evaluation written report. Interim evaluation reports (submitted with the biannual progress reports) and a final evaluation report will also be required for primary objectives.

    a) The final evaluation report must be consistent with the requirements provided in the CDHS/TCS guidelines for writing evaluation reports included in Tell Your Story: Guidelines for Preparing a High Quality Final Evaluation Report, available at www.dhs.ca.gov/tobacco/documents/eval/EvaluationReport.pdf.

2) An appropriate evaluation plan is required for each objective in the SOW. The evaluation plan must be appropriate in terms of the evaluation design, sampling strategy, sample sizes, types of evaluation activities proposed, data collection methods, data analysis, and dissemination of findings. The evaluation should measure the extent to which the objective was achieved, provide information that will inform and improve the intervention, and disseminate the findings to the community, key opinion leaders, or public heath professionals working in tobacco control.

3) The evaluation plan assigns timelines, copyright, program deliverable percentages, responsible parties, and tracking measures to verify completion of activities.

4) The quality of the objectives and evaluation plans demonstrates a qualified program evaluator provided at least four hours of consultation to the applicant.

Please note: The awarded applicant will not be penalized for failure to achieve their objectives; evaluation results will not affect current or future funding. However, funds may be withheld if deliverables within the SOW are not completed, including elements of the evaluation plan.

It is recommended that two to five percent of the percent deliverables/budget be allocated to evaluation.

b. **Evaluator Information**

Evaluator Minimum Requirements

Component Description: The Local Program Evaluator (LPE) provides information related to his/her evaluation training, expertise, and contact information. The LPE certifies that he/she participated in the development of the evaluation plan. The applicant agency links a LPE identified in the LPE Directory with their application.

1) Evaluator Profile
Identify the individual designated as the LPE for the project. The LPE must complete the profile in the electronic LPE Directory, which can be accessed at http://tcsotis.org/public/evaluator/index.cfm. The profile describes the LPE's experience, qualifications, skills and availability, and tobacco-related publications. Once completed, applicants are to access the LPE Directory to identify and select their LPE.

2) Evaluator Certification
The LPE certifies the amount of time he/she spent with the applicant providing consultation on the SOW evaluation plans. Every application must include this certification, even if the LPE is a member of the agency staff.

Maximum Point Value: 0 (Information provided in this component will be rated within the SOW and Evaluation sections.)

Minimum Requirements:
LPE must demonstrate:

- One course in study design or one year of experience determining the study design for an evaluation
- One course in evaluation or one year of experience planning and implementing an evaluation
- Two courses in statistics or one year of experience analyzing data for an evaluation

- LPE must certify that he/she provided a minimum of four hours of consultation in the development of the SOW Evaluation Plans.
- The applicant must link a LPE to their application

Instructions: LPE completes or updates his/her profile within the LPE Directory accessed at www.dhs.ca.gov/tobacco and must certify that he/she participated in the development of the SOW Evaluation Plans. The applicant must view and select an evaluator from within the LPE Directory or through OTIS, and electronically invite him/her to complete his/her profile and certification. See the OTIS User Guide, Section V, Application, D. Evaluator Information for data entry instructions. The program evaluator must submit certification of his/her involvement in the development of the Evaluation Plan. This certification is done through the LPE Directory available at http://tcsotis.org/public/evaluator/index.cfm.

Refer to Communities of Excellence in Tobacco Control, Module 4, OTIS User Guide, Section V, Application, E. Scope of Work, and the OTIS Evaluation Guide.

c. **Materials Development**

Component Description: This section is only to be completed if the applicant plans to develop substantive original works including training curricula, how-to guides, and cultural competency tools that have the potential for statewide use and which reflect a high quality developmental process. Do not complete this form for newsletters, *press releases,* fact sheets, websites, listservs, PowerPoint presentations*, or other materials intended for adaptation and use by others.*

Maximum Point Value: 0 (Information provided in this component will be rated within the SOW)

Minimum Requirements:
- Materials are substantive original works, support the overall goals of the objective, and are integrated into the proposed program
- It is evident that TECC will be contacted prior to development, to confirm non-duplication, and for assistance on materials development
- It is evident that the applicant intends to use appropriate strategies to field/pilot test materials, obtain appropriate copyright, artist or photograph release, ensure that information is factually correct and cited, and will use professional production values

Instructions: Complete the Materials Development Form, which includes the following information:
- objective
- intervention category

- activity
- activity number
- working title of material
- brief description of the content
- target audience to be reached by the materials
- material format
- language(s)
- projected completion date
- primary content
- material purpose

Please refer to the OTIS User Guide, Section V, Application, E. Scope of Work, and Communities of Excellence in Tobacco Control, Module 4, which provide specific instructions for completing the Materials Development Form. Additional information about the material (e.g., testing, cost, copyright, authority for artwork) is completed after the start date of the project, as part of the progress report. Once the material is developed, it is sent to TECC for review and possible inclusion in the TECC sales catalog.

3. **Narrative Summary**

Component Description: This section summarizes the proposed tobacco control plan, including the need to address each objective, the activities that will be implemented, the rationale as to why the activities are appropriate, and the evaluation design.

Maximum Point Value: 15

Minimum Requirements:

- Clearly demonstrates a strong understanding of priority populations, cultural competency, and tobacco-related health disparity training and technical assistance needs among CDHS/TCS-funded projects using relevant data sources, such as needs assessments, asset mapping, key informant interviews, public surveys, and focus groups
- Provides a brief, succinct summary of activities to be undertaken and incorporates the principles of organizational change, the promotion of cultural diversity, and adult learning concepts
- Demonstrates a strong rationale for the proposed intervention activities, including an appropriate theory of change
- Provides reasonable, realistic, and appropriate evaluation plans for each objective

Instructions: Briefly describe the interventions and evaluation activities, addressing the following components:

- For each objective, describe relevant needs assessment findings that justify the objective and intervention approach

- For each objective, provide a rationale that describes the underlying theory of change (http://www.nci.nih.gov/theory/pdf). The theory of change is the basic assumption(s) about why the proposed interventions should work. A theory of change should be:
  - Logical
  - Consistent with everyday observations
  - Similar to those used in previous successful program examples you have read or heard about
  - Supported by past research in the same area or in related areas
- For each objective, include reasonable, realistic, and appropriate evaluation plans

4. **Budget Information**

Component Description: The Budget Justification provides an accurate and detailed description of all expenses that will be associated with the applicant agency's SOW.

Maximum Point Value: *25*

Minimum Requirements: Funding preference shall be given to applicants that:

- *Provide a level of detail sufficient to justify the proposed quality and quantity of activities to accomplish the tasks in the SOW, including accurate formulas for salary, space, rent/lease, travel, etc.*
- *Provide a 100 percent full time employee (FTE) Project Director or Coordinator to oversee project, oversight, and coordination of any subcontractors and/or consultants, if applicable*
- *Designate one staff employee as the lead on project evaluation at a five percent minimum full time equivalent (FTE) to lead and coordinate the efforts of all evaluation staff, evaluation consultant, or subcontractor hired to perform evaluation activities*
- *Propose reasonable personnel and subcontractor/consultant costs (including the fringe benefit rates), comparable to the qualifications of each individual that will complete activities identified in the SOW. (If proposed salaries for personnel and subcontractors and/or consultants are higher than comparable State civil service classifications [see* ***Appendix F*** *for a listing of Comparable State Civil Service Classifications]; provide adequate justification to warrant the salary requested.) Titles used for responsible parties in the SOW are consistent with those used in the Budget Justification (e.g., Personnel classifications, subcontractors and/or consultants, etc.).*
- *Propose Operating Expenses that are justified, consistent with the requirements of the RFA, Budget Justification, and support the activities in the SOW (e.g., CDHS/TCS Communications Network, OTIS, CDHS/TCS websites such as PARTNERS; Space Rent/Lease; Other agency-defined subcategories such as office supplies, postage, duplicating, communications, printing; equipment/lease rental; and audit expenses)*

- *Provide sufficient justification if requesting to purchase office equipment hardware/software costs for needed to access OTIS and PARTNERS and/or other equipment to conduct trainings in various formats (e.g., teleconferences, webinar, interactive web-based courses)*
- *Propose reasonable and accurate Travel/Per Diem and Training expenses*
- *If Subcontractors/Consultants are proposed, provide adequate justification for each one to determine the reasonableness of the costs and the selection process; describe the experience and expertise provided that meet the requirements outlined in the RFA; and include a Subcontractor/Consultant sub-budget, if applicable*
- *Propose Other Costs that are justified, consistent with the requirements of the RFA, Budget Justification, and support the activities in the SOW (e.g., Educational Materials, Promotional Items, Incentives, Media, and Other agency-defined subcategories)*
- *Indirect Costs do not exceed 25 percent of the Total Personnel Expenses*

Instructions: The Budget Justification must be a realistic estimate of the expenses for the 36-month intervention project. The term of the project is January 1, 2008 through December 31, 2010, which spans four state FYs. Department of Finance requires that grant contracts be prepared and spent on a FY cycle. The state FY is July 1 through June 30, a 12-month period.

Develop a Budget Justification with enough narrative detail to support the SOW and the minimum requirements. In the Budget Justification, OTIS will automatically calculate the "Total Budget" using the amounts entered. Use only whole dollar values. Totals for each budget category will be carried forward to the "Budget Page" thereby eliminating inconsistencies between the two documents. The total requested must not exceed $1,800,000 for the 36-month period.

Your budget will consist of four FY periods covering the following:

FY 07-08 – 6 months
January 1, 2008 to June 30, 2008

FY 08-09 – 12 months
July 1, 2008 to June 30, 2009

FY 09-10 – 12 months
July 1, 2009 to June 30, 2010

FY 10-11 – 6months
July 1, 2010 to December 31, 2010

The Budget Justification consists of the following eight categorical line items:

- *Personnel Costs*
- *Fringe Benefits*
- *Operating Expenses*
- *Equipment*
- *Travel/per diem and Training*
- *Subcontracts and Consultants*
- *Other Costs*
- *Indirect Costs*

Refer to the OTIS User Guide, Section V. F. Budget Information, which provides specific information for completing the Budget Justification. The Budget Justification: 1) explains, describes, and justifies the expenditures connected with the activities in the SOW; and, 2) helps to evaluate the SOW. When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff or staff effort may increase/decrease as program activities develop or end.

Refer to Supplemental Resource Materials:

- *CDHS/TCS Administrative and Policy Manual available at www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101*
- *OTIS User Guide, for specific instructions and help information to complete the required online submission. Instructions can be found at* ***http://www.tcsotis.org/index.cfm?fuseaction=help.documentsIndexmain#22****.*

The following Budget categorical line items are in the order they will appear in OTIS. Include lists, formulas, skill level, and additional justifications where required.

a. Personnel Costs

This category of the Budget Justification provides detail on the following:

1) Position Classification or Title:

List the classification or title for each position utilized during the 36-month term. The position classification/title used in the Budget Justification must be the same as the classification/title used in the SOW "Responsible Parties" section.

- *Personnel such as: Executive Director, Deputy Director, Attorney, Bookkeeper, etc., budgeted at less than ten percent should not be included in the Personnel Costs category.*

- *Applicants having an established policy that allows personnel less than ten percent FTE in Personnel Costs must provide a justification for each applicable position. This information is subject to CDHS/TCS approval.*
- *Applicants must designate a lead staff position to provide a five percent minimum effort toward total project evaluation. Effort can be in performing evaluation and supervision of the Evaluation Consultant/Staff.*

2) *Salary Range and Pay Period Frequency:*

Identify the actual salary range and the pay period frequency for each position listed in personnel. Pay period examples are: monthly, semi-monthly, bi-weekly, weekly, hourly. The salary range must also reflect the frequency that the employee is actually paid. Enter the low-end and high-end of each staff full-time salary range for all part-time or full-time positions listed. Make sure the high-end of the salary range allows for any salary increases; such as: performance increases, merit increases, or cost of living adjustments, for each position during the term of the grant.

Examples of actual salary ranges are:

- *$4,000-$5,000 monthly;*
- *$2,000-$2,500 semi-monthly;*
- *$1,800-$2,300 bi-weekly;*
- *$1,000-$1,250 weekly;*
- *$20-$25 hourly.*

Example of salary range formula: ($4,102-$4,987)

- *$2,051-$2,494 paid semi-monthly x 100% x 24 pps/yr*

Please note: Do not use an annual salary for the salary range.

Pursuant to Section 3.17.1 of the State Contracting Manual, any salary paid to project staff shall not exceed those paid to State personnel for a similar position/classification/title. (See ***Appendix F*** *for a listing of Comparable State Civil Service Classifications.) If any proposed salary exceeds the comparable State personnel salaries, the Applicant must justify the reason and necessity for the higher rate in the justification for each applicable staff position. High salary justifications will be reviewed by the State and a determination will be made for each position. CDHS/TCS may request additional information during grant negotiations. The Applicant must receive approval from CDHS/TCS prior to reimbursement for "high salary" personnel cost.*

3) *Percent of FTE:*

For each position indicate the percent of FTE, in whole numbers, or the total hours per pay period if the employee is paid hourly. A 100 percent FTE is 2,080 hours annually, including paid vacation.

Example:

- *A full-time semi-monthly employee who works 80 hours in a two-week period is 100 percent FTE.*

- *A semi-monthly employee who works 20 hours in a 40-hour work week is 50 percent FTE.*

Please note: If the amount of FTE for some staff positions will vary from month to month enter a FTE range.

Example:

- *30% to 40% FTE*
- *50% to 75% FTE*
- *75% to 100% FTE*
- *10 hours to 20 hours weekly*
- *20 hours to 40 hours weekly*

4) *Pay Periods:*
Indicate the number of pay periods for which payment shall be claimed. Examples of pay periods are:

- *Monthly = 12 pay periods per year*
- *Semi-monthly = 24 pay periods per year*
- *Bi-weekly = 26 pay periods per year*
- *Weekly = 52 pay periods per year*
- *Hourly = "X" number of hours per pay period (do not use percents of time if a position is paid hourly)*

5) *Description of Duties:*

Provide a description of the duties, responsibilities, and activities to be performed by each position. These positions must also be identified and coincide with Responsible Parties section of the SOW. Program personnel less than ten percent FTE that are listed in the personnel category must have a complete position description that ties the position to activities in the SOW.

Remember:

- *Employees less than ten percent FTE are not included as staff and should be included in indirect costs*

- *A minimum of five percent of a staff person needs to be designated to oversee and coordinate project evaluation activities*

6) *Amount Requested:*

   Calculate and list the whole dollar amount requested for each staff position during each budget FY.

   Example:
   Salary amount X percent of FTE X number of pay periods = Total for position.

   Please note: The total amount requested cannot be:
   - ***less than the lowest dollar amount calculated by multiplying the low-end of the salary range X the low end of the FTE percentage X the lowest number of pay periods; or,***
   - ***greater than the highest dollar amount calculated by multiplying the high-end of the salary range X the high-end of the FTE percentage X the highest number of pay periods***

   Total Personnel Costs*: OTIS will sum each personnel amount for the total personnel costs.*

b. *<u>Fringe Benefits</u>*

Applicants are to refer to ***Appendix H*** *for the Contract Uniformity information. The Contract Uniformity information in the Appendix provides guidance for allowable expenses in Fringe Benefits.*

Please note: Fringe Benefits do not include employee leave (e.g., annual leave, vacation, sick leave, holidays, jury duty, military leave, training leave, administrative leave).

Please note: For workers compensation, budget for premiums only. Expenses associated with workers compensation claims is not allowed.

List the fringe benefits that your agency will provide to eligible personnel. Identify any personnel that will not receive benefits with an asterisk (*). List the fringe benefit percent range and the amount requested for employee fringe benefits for each FY. If the percentage rate for employee fringe benefits differs for various positions, indicate a range:

Example:
15% to 25%
25% to 33%

Please note: CDHS/TCS will not pay for employee vacation or sick time accruals that are earned outside the effective term of the grant.

c. <u>Operating Expenses</u>

Items (1) and (2) below are required and must appear in every Budget Justification. If there are no expenses related to these line items, please enter $0.

1) CDHS/TCS Communications Network, OTIS, and the Policy Advocacy Resource Tobacco Network Education Response System (PARTNERS).

All funded applicants are **required** *to: 1) access OTIS, and 2) obtain and maintain an active PARTNERS account. While there is no charge to CDHS/TCS-funded applicants for OTIS access or the PARTNERS subscription, your agency should budget for the monthly-internet access fees during the entire grant period. If you choose not to budget for this line item you must provide an explanation in the PARTNERS line item as to how you will access PARTNERS and OTIS.*

Example:
Agency has local area network with automatic access to Internet that will not be charged to the CDHS/TCS grant.

2) Space Rent/Lease:

Determine the total FTE listed in your budget. Provide the total number of square feet to be charged and the cost per square foot. Allow for any anticipated space cost increases during the 36-month term. Multiply these figures by the number of months in the budget period to obtain the subtotal. Square footage shall not exceed 150 square feet per FTE plus "reasonable" square footage for shared space; such as conference rooms, library/resources, storage space, bath rooms, break rooms, etc. ***If the total need of the project space costs exceeds State standards then you must justify the need for the additional space.***

(total square feet) X (cost per square feet) X (number of months)

Example:

2 FTE x 150 square feet x $1.25/ square feet x 8 months =	*$3,000*
2 FTE x 150 square feet x $1.50/ square feet x 12 months =	*$5,400*
2 FTE x 150 square feet x $1.50/ square feet x 12 months =	*$5,400*
2 FTE x 150 square feet x $1.50/ square feet x 4 months =	*<u>$1,800</u>*
Total for 36 months =	*$15,600*

3) *Other agency-defined subcategories:*

After budgeting for items (1) and (2) above, you may add other operating expenses. Sequentially number each additional line item and provide a justification for each. The justification should provide a complete description of the line item as well as a formula of how you arrived at the budget amount requested. Some typical additional line items are listed below:

- *Office Supplies:*
  This expense is for consumable general office supplies.

  Examples:
  Pens, pencils, paper, binders, staplers, file folders, etc.

  *Examples that are **not** Office Supplies include phones, computers, printers, facsimile machines, mobile computer devices, cell phones, copy machines, chairs, tables, desks. These items would be budgeted under the "equipment" line item below.*

- *Postage:*
  This expense is for postage to mail project correspondence, and other materials that may also include overnight express mail costs.

- *Duplicating:*
  This expense is for "in-house" duplicating and reproduction. The duplicating is internal and routine, usually for small office jobs. This can include the Center's share of the general office copy machine total usage. It can also include shared copier maintenance agreements, copier supplies such as paper, toner, etc. (Duplicating supplies such as paper, and toner may be included in either the Office Supplies Line Item or the Duplicating Line Item, but should not be included in both.)

- *Communications:*
  This expense is for the installation costs of telephones and any recurring monthly charges related to the telephone system, fax line costs, 1-800 phone numbers, peer-to-peer electronic systems, e-newsletters, topic specific network calls. It also includes any other communication costs related to the project's need to use teleconference calling (webinar) and other tasks related to technical assistance needs necessary to complete the SOW.

- *Printing:*
  This line item is for printing and reproduction of larger jobs completed by outside vendors. Items to be included might be duplication of

informational brochures, educational materials, graphic design layout, printing costs for new materials, etc.

Examples are:
Brochures, cultural competency assessment tools, case studies, tip sheets, etc.

- *Equipment Lease/Rental:*
  List and justify in narrative detail all lease/rental equipment that will be charged to the grant. Provide the monthly lease/rental rate for each item and the number of rental/lease months. Provide budget totals for each piece of equipment leased/rented. Examples of rental/leased items are desk-top work stations that include computers, printers, faxes, and scanners.

  Please note: Rental Equipment will be authorized by CDHS/TCS on a case-by-case basis. Renting/leasing to own, purchase/leaseback, and lease/purchase of equipment is not permitted. Rental/lease agreements that are continuing through the grant term must adhere to this CDHS/TCS policy.

- *Audit Expenses:*
  All CDHS/TCS-funded Applicants are required to conduct a single agency audit in accordance with "General Accounting Principles." The audit must be conducted by a Certified Public Accountant from outside the agency. The budget amount for the audit cost share shall represent the proportionate amount of the CDHS/TCS grant award in relationship to total agency income. For example, if this grant represents ten percent of your total agency income, then this grant would be responsible for no more than ten percent of the total audit cost. Provide the justification and dollar amount allocated for the audit. Explain how you arrived at the estimated audit percentage and total cost.

  Please note: Applicants may budget for audit expenses in the Operating Expenses category or may budget audit expenses in the Indirect Costs category. Applicants may not budget audit expenses in both budget categories. If applicants choose to budget audit expenses within the Operating Expenses category, then all combined indirect costs must not exceed 25 percent of personnel plus fringe benefit totals.

  Please note: Applicants choosing not to allocate funds for audit purposes must provide a written justification indicating how they intend to comply with the audit requirement.

Total Operating Expenses*:* *OTIS will sum all Operating Expense Line Items to compute the Total Operating Expenses.*

d. *Equipment Expenses*

The minimum requirement for equipment is to have at least one work station that meets the minimum specifications outlined in ***Appendix K*** *of the RFA and in the CDHS/TCS Policy Manual www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101. If the need to upgrade the computer work station warrants, the applicant must provide a complete list, description, justification, quantity, unit cost and total cost to improve the computer work station to meet CDHS/TCS minimum requirements. Any request to purchase equipment must be completely justified. Indicate any other needed equipment for items that are not included in office supplies such as a computer, laptop, printer, scanner, cell phone, facsimile machine, mobile computer device, copy machine, chairs, tables, desks. Note that any purchase of computer equipment must adhere to the information/data security policy contained in the CHDS/TCS Policy Manual, Chapter 400, Policy number 5.*

e. *Travel/Per Diem and Training*

Travel and training are to be consistent with the needs of the tobacco control project and support SOW activities and tasks. Travel is reimbursed to applicants at the current State Department of Personnel Administration rates. Travel Reimbursement information and rates can be found in the Grantee agreement and/or the CDHS/TCS Policy Manual located at: www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101. Additionally, State funds may not be used for out-of-state travel, per diem, and training/conferences without prior written approval by CDHS/TCS.

Please note: If there are no expenses related to one of these line items, enter $0. Do not add any additional line items.

1) Project Staff Travel/Training:

a) Project Travel: Includes airfare, meals, lodging, incidental expenses, and mileage which are necessary for project staff to implement the SOW. Project travel also includes staff attendance at trainings and summits conducted by the applicant agency such as leadership training and in-person technical assistance. Provide a description of the proposed travel and the approximate dollar amount requested for project travel that is directly related to completion of the SOW.

b) Project Training: Includes registration fees for staff development or any other additional training event for professional, clerical, *administrative personnel and advisory board members, etc., necessary for the completion of activities in the SOW. Training may include courses on computer software, meeting facilitation, planning, leadership, etc. Provide a description of the proposed training and the dollar amount requested for project training costs that are related to completion of the SOW.*

2) *Travel/Training to attend CDHS/TCS sponsored events (not mandatory):*

   Budget for project staff to attend CDHS/TCS sponsored events that are specifically directed toward CDHS/TCS-funded projects. These events provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, advocacy, and technical assistance from other CDHS/TCS-funded projects.

   Calculate the number of trainings, length of the training/conferences, and the number of staff. For instance, statewide contractors such as the media public relations contractor, TALC, the Center, and others, may conduct two-to-four trainings/conferences each year. Note that it is anticipated that the Capacity Building Center would provide presentations at these trainings to market and provide their services on cultural competency and diversity. The length of these trainings/conferences is usually one-to-two days in northern or southern California.

   It is recommended that agencies budget for one-to-two staff to attend two-to-four CDHS/TCS trainings per FY at $750 per person.

   Sample:
   - *Provide a numeric formula that reflects how you are budgeting for this cost (e.g., 2 staff X 3 trainings X $750 per training = $4,500)*

3) *Travel/Trainings to attend CDHS/TCS* ***Required*** *events (mandatory):*

   CDHS/TCS organizes mandatory trainings such as the Project Directors' Meeting (PDM) and New Grantee Orientation meetings about every 18 months. Budget for at least two PDMs for one-to-two staff to attend the PDMs in FYs 2007-08 (Spring 2008) and 2009-10 (Fall 2009).

4) *Out-of-State Travel* ***(optional)****:*

   Identify any possible out-of-state trips. Include the amount budgeted, number of staff, and purpose. All out-of-state travel not approved through this budget process will require written CDHS/TCS approval at least ten days in advance of any travel. However, final approval of any out-of-state travel will be contingent upon participating in the conference as a presenter, panel member, speaker, etc.

Sample:

- *<u>National Conference on Tobacco or Health</u>* ***(optional)****:*
  Budget $1,500 per person ($1,100 travel/per diem and $400 registration) for one-to-two program staff to attend the National Conference in FY 2008-09

Total Travel/Per Diem and Training*: OTIS will sum all travel expense detail to compute the Total Travel Expenses.*

f. *<u>Subcontracts and Consultants</u>*

Please note: For each subcontract or consultant that will receive 10 percent or more of the total budget (approximately $180,000), a sub-budget/budget justification for that subcontractor or consultant must be entered into OTIS as part of the online application process. The sub-budget shall be a line item description of the expenses that will be incurred by the subcontractor (e.g., personnel, fringe benefits, operating expenses, etc.). The applicant agency must request an OTIS user account through the CDHS/TCS Webmaster representative <u>tcsweb@dhs.ca.gov</u> for the subcontractor so that they will have access to OTIS to enter the required sub-budget information. <u>The applicant agency needs to be aware that this additional process needs to be taken into consideration when allotting sufficient time for completing the application</u>.

<u>Subcontracts</u>:

A subcontract includes any individual or entity, which enters into a subcontract agreement with the grantee for performance of any part of the grant with CDHS/TCS. A Primary Applicant proposing to use subcontractors and/or consultants needs to provide justification and proposed budgets for the expenses. The justification should provide a complete description of the line item as well as a formula of how you arrived at the budget amount requested. Please address the following points in your justification:

- *Subcontracts should be selected through a process that solicits the lowest cost possible. CDHS/TCS requires three competitive bids be submitted with the subcontract approval request, or the absence of bidding must be thoroughly justified*
- *Subcontracts are usually for projects needing salaried positions, indirect costs, etc. The subcontractor should provide a specialized task that is directly related to the project's activities*
- *The subcontractor's salary should not exceed those paid to state personnel for similar positions/classifications. (See* ***Appendix F*** *for a list of Comparable State Civil Service Classifications). If the subcontractor costs are higher than the comparable state civil service salaries on*

***Appendix F**, Primary Applicant must provide a detailed explanation to justify these costs*

- *Each subcontract is to be identified in the SOW in the Responsible Parties section and linked to accomplishment of specific activities*
- *List each subcontract separately in the Budget Justification. For each subcontractor provide the name of the individual or agency, a description of activities to be performed, period of time, and total cost for services. Be as specific as possible. Subcontractor indirect costs shall not exceed 25 percent of their total Personnel Expenses (Personnel Costs plus Fringe Benefits = total amounts)*

Examples: ABC Company is subcontracted for website development and maintenance for a three-year period. (Agencies should include enough detail in the Budget Justification narrative that addresses the five itemized bullets above.)

Time Period	***Grant Amount***
December 1, 2007 to November 30, 2008	*$50,000*
December 1, 2008 to November 30, 2009	*$25,000*
December 1, 2009 to November 30, 2010	*$25,000*
Total Grant	*$100,000*

Consultants:

- *Consultants are individuals whose level or area of expertise extends beyond that possessed by project staff. The effort of a consultant should support and supplement the skills of agency staff and not supplant or duplicate agency skills or effort. Typical services provided by a consultant are for technical advice or effort on programmatic activities and issues such as website development*
- *The consultant's rate should be commensurate with the consultant's level of training, expertise, and national recognition. Every effort should be made to negotiate the lowest possible cost*
- *Consultants listed in the Budget Justification must be identified in the SOW in the Responsible Parties section and linked to accomplishment of specific activities. For each consultant identified in the Budget Justification, provide the consultant name, hourly rate, number of hours to be worked: such as; per week, per month, per year, etc., total cost, and detail the description of activities to be performed*
- *Examples: Graphic design consultant, group facilitation, key informant interviews, in-service training, program design, program development, program evaluation, etc.*

Graphic Design Consultant - For design and development of a marketing brochure. (Agencies should include enough detail in the Budget Justification narrative that addresses the four bullets above.

Time Period	***Grant Amount***
January 1, 2008 to March 1, 2008	
Pay rate at $35/hour for 80 hours =	*$2,800*

***Total Subcontracts and Consultants**: OTIS will sum all subcontract and/or consultant line item amounts to compute the Total Subcontracts and Consultants.*

g. *Other Costs*

Please note: The following 5 items below must appear in the Budget Justification in the order presented here. If there are no expenses related to these line items, enter $0.

Refer to the CDHS/TCS Policy Manual, Section II, Chapter 300 (www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101), for more information on educational materials, promotional items, incentives, media, and sponsorships.

1) *Educational Materials:*

   Includes the purchase or development of brochures, pamphlets, posters, curriculum, development and dissemination of training guides, videos, slides, flip charts, CD-ROMs, etc. necessary for SOW activities.

   Please note: Do not itemize; use broad categories and estimates only.

2) *Promotional Items:*

   The value of promotional items is to be moderate or nominal in cost. Make sure the promotional items listed in the Budget Justification are also referenced in the SOW. Provide a list of promotional items and total budgeted amount.

   Example: Giving visors to participants that enroll in a cultural diversity training.

   Please note: Do not itemize or give detail of quantity, unit cost, or subtotal for each item. Only provide a list of items and the total budgeted amount. These are only estimates.

3) *Incentives:*

Educational Incentives:

Incentives are only to be given to participants attaining a pre-specified goal. Incentives can be both tangible and intangible in nature. Cash incentives are not permitted. Incentives are not to exceed $50 worth/value of merchandise per person per year.

The value of an incentive must be commensurate with the degree of behavior change sought. Make sure the incentive items listed in the Budget Justification are also referenced in the SOW. List incentive items and budgeted amount for each FY.

Example: A free training give-away or book on cultural competency for agencies that complete a needs assessment.

Food Incentives:

Food/refreshments are an allowable incentive item which may be purchased and made available at coalition/advisory committee meetings or to volunteers who have participated in tobacco-control related events and activities such as data collection. The food incentive does not permit the purchase of meals for staff on CDHS/TCS-funded projects nor local health department employees. Food incentives are not to exceed $50 worth/value of food/refreshments per person per year and should be commensurate with level of work expected. Include the costs for the food incentives in the budget for each FY.

Example: Purchase of pizza, soda, and juice/bottled water for evening community meetings.

4) *Media:*

This line item may include costs to market the training and technical assistance offered to the CDHS/TCS grantees. List the types of planned media that supports activities in the SOW and the total budgeted amount. Make sure the media, public relations, and advertising items listed in the Budget Justification are also referenced in the SOW.

5) *Sponsorships:*

This line item is not applicable to this RFA. *Please enter 0 in the Budget Justification.*

6) *Other agency-defined subcategories:*

After budgeting for Educational Materials, Promotional Items, Incentives, and Media above, applicants may add other agency-defined line items. Sequentially number each additional line item and provide a justification for each. The justification should provide a complete description of the line item as well as a formula of how you arrived at the budget amount requested. Please keep the following points in mind:

- *List them individually and be specific. For example, facility fees for renting a meeting room to conduct a training or renting a booth at a health fair, etc.*
- *Provide enough information to justify each additional line item*
- *Make sure the additional line items listed in the Budget Justification are also referenced in the SOW*

***Total Other Costs**: OTIS will sum all Other Costs line items in order to compute the Total Other Costs.*

h. *Indirect Expenses*

Indirect Expenses are costs that are not directly associated with the project's SOW deliverables. These are individuals or activities that indirectly support the project, but do not directly complete activities connected to the SOW. Examples are: Management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance Audit.

Provide a list of all Indirect Expenses to be charged and the total amount requested.

Indirect Expenses cannot exceed 25 percent of the Total Personnel Expenses.

Please note: Costs associated with the annual Financial and Compliance Audit may either be budgeted in this line item or budgeted in the Audit Expenses line item under Operating Expenses. If audit costs are budgeted under Operating Expenses, the Audit Expenses line item plus the Indirect Expenses line item must not exceed 25 percent of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits line item amounts).

***Total Expenses**: OTIS will calculate items a. to h. for the Total Expenses.*

5. **Stage III: Oral Presentation** ***50 Points Possible***

Applicants advancing to Stage III will be required to give an oral presentation to the review panel at CDHS/TCS. Oral Presentations will take place *October 10-11, 2007,* at the discretion of the review panel. More detailed instructions regarding the Oral Presentation will be posted to **http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101 no later than *September 14*, 2007**. The following information is included to provide applicants with general guidelines and information for this stage of the application process:

a. Duration and Location

Oral presentations will be conducted in Sacramento, CA at the CDHS/TCS office and will last up to 90 minutes with an additional 60 minutes for a question and answer period. All expenses associated with preparing the presentation and traveling to Sacramento, CA are the responsibility of the Primary Applicant, subcontractors and/or consultants. The review panel shall interact with the applicant and its team during the presentation.

b. Components of Presentations

Primary Applicants, subcontractors and/or consultants, and major consultants should be prepared to develop oral presentations based on two case studies. As stated above, details for these case studies will be made available to applicants no later than *September 14*, 2007. Case studies will be relevant and will present challenges encountered by CDHS/TCS-funded agencies working with priority populations.

Applicants will also be required to utilize current CDHS/TCS resources (OTIS, PARTNERS, publications, reports, etc.), to evaluate field needs relative to priority populations (LLAs, Competitive Grantees, and Statewide Projects), and develop an action plan for how the Capacity Building Center for Diverse Populations would address these case studies.

c. Minimum Requirements

Points awarded to applicants will be based on the following:

- Demonstration of an in-depth understanding of health disparities issues within California as they relate to priority population communities and tobacco control
- Demonstration of collaborative efforts in working with CDHS/TCS, LLAs, and other statewide projects, competitive grantees, and statewide initiatives as appropriate, in order to coordinate and provide appropriate technical assistance and training
- Demonstration of competency in addressing appropriate priority population agencies by Primary Applicant agency staff or through

subcontracts or consultants to assist with delivering training and technical assistance

- Answer questions from Stage I and II, (e.g., questions regarding start-up plan, capacity, etc.)
- Ability to identify and proactively market technical assistance and training services to all CDHS/TCS-funded agencies

Please note: Not all CDHS/TCS-funded agencies who need assistance will request it.

- Capacity to address barriers related to providing training and technical assistance on a statewide basis
- Demonstration of abilities in creating effective training tools and materials for CDHS/TCS-funded agencies to use in the field
- Demonstration of evaluation techniques used to determine the effectiveness of technical assistance and training provided, measuring the transfer of knowledge and long-term effectiveness of diversity themed trainings and/or diversity initiatives (from Stage I)
- Action plan for increasing CDHS/TCS-funded agencies abilities and internal capacities in addressing priority populations
- Demonstration of a proposed realistic 36-month budget in support of the case studies

6. **Stage IV: Site Visit** ***40 Points Possible***

Applicants advancing to Stage IV will be required to schedule a site visit with the review panel. Site visits will take place *<u>November 1-6, 2007</u>,* at the discretion of the review panel*.* Each site visit is estimated to be not more than 90 minutes long. More detailed instructions regarding site visits will be posted no later than *October 17*, 2007, to **<u>http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101</u>**. Applicants must score a minimum of 32 points on Stage IV to be eligible for final consideration. Additionally, the applicant that scored the highest on their cumulative scores from Stages I, II, III, and IV will be awarded the grant. Please refer back to Section II, page 18, for a description.

The following information is included to provide applicants with general information for Stage IV of the application process:

a. Purpose of Site Visit
   - Allow the review panel to tour the Primary Applicant's facility and to meet personnel who will be assigned to the procurement
   - Provide an opportunity for Primary Applicant staff and the review panel to discuss goals and objectives of the RFA
   - For the review panel to observe a Capabilities Presentation

b. Capabilities Presentation

This presentation will give the Primary Applicant an opportunity to highlight a variety of accomplishments. The presentation team members shall provide the review panel with a sense of the Primary Applicant's day-to-day operational practices as they relate to providing technical assistance and training to CDHS/TCS-funded agencies. This will be an interactive presentation and the review panel will ask a series of questions.